

Standard: <i>Process Audit Checklists</i>	
Issue Date: May 5, 2000	Standard ID: S-QA-150
Supersedes: February 28, 2000	Rev/Change 2.0

1. Purpose: To document items to be evaluated during a QA Audit.

2. Creating Procedures:

P-QA-070 - QA Audits

3. Contents:

Select the applicable checklist to be used from pages 2-11 of this standard. Additional sheets may be added to define any nonconformance issues and to add any pertinent information.

<u>Page</u>	<u>Checklist</u>
2	Project Planning
3	Requirements Management
4	Product Engineering
5	Peer Reviews
6	Quality Assurance
7	Configuration Management
8	Project Tracking
9	Intergroup Coordination
10	Training
11	Process Improvement

4. Format:

Following Page

5. Notes: N/A

Project Planning Audit Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Does a statement of work exist for the project?	<input type="checkbox"/>	<input type="checkbox"/>
Has the PM reviewed the customer request P-PM-010?	<input type="checkbox"/>	<input type="checkbox"/>
Have the appropriate forms been completed and placed in the Project Notebook per P-PM-010?	<input type="checkbox"/>	<input type="checkbox"/>
Was a planning meeting held with the team (P-PM-030) (P-PM-010)? Note: Should be one for proposal and one for kickoff.	<input type="checkbox"/>	<input type="checkbox"/>
Have the appropriate forms been completed and placed in the Project Notebook per P-PM-030?	<input type="checkbox"/>	<input type="checkbox"/>
Has the initial project estimates form been completed and turned in to the SPG (S-PM-170)?	<input type="checkbox"/>	<input type="checkbox"/>
Has size been estimated P-PE-170?	<input type="checkbox"/>	<input type="checkbox"/>
Has schedule been estimated P-PE-180?	<input type="checkbox"/>	<input type="checkbox"/>
Has effort been estimated P-PE-175?	<input type="checkbox"/>	<input type="checkbox"/>
Have critical computer resources been estimated P-PE-200? (when applicable)	<input type="checkbox"/>	<input type="checkbox"/>
Have cost and schedule estimating checklists and standards been completed P-PE-160?	<input type="checkbox"/>	<input type="checkbox"/>
Does adequate data exist to support the estimates?	<input type="checkbox"/>	<input type="checkbox"/>
Was a One-on-One Peer Review of the estimates obtained P-PE-160?	<input type="checkbox"/>	<input type="checkbox"/>
Has a test plan been developed S-PE-125?	<input type="checkbox"/>	<input type="checkbox"/>
Has a QA Plan been developed S-QA-030?	<input type="checkbox"/>	<input type="checkbox"/>
Has a CM Plan been developed S-CM-030?	<input type="checkbox"/>	<input type="checkbox"/>
Have project reviews been planned S-PM-080?	<input type="checkbox"/>	<input type="checkbox"/>
Has a PM Plan been developed S-PE-010?	<input type="checkbox"/>	<input type="checkbox"/>
Have risks been identified P-PE-150?	<input type="checkbox"/>	<input type="checkbox"/>
Has any applicable customer supplied material been identified P-PM-050?	<input type="checkbox"/>	<input type="checkbox"/>
Is the ACOG properly filled out and maintained (S-PM-085)?	<input type="checkbox"/>	<input type="checkbox"/>

CAR'S Issued:

Requirements Management Audit Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:

Yes No

- | | | |
|---|--------------------------|--------------------------|
| Has responsibility been assigned for Requirements Management? | <input type="checkbox"/> | <input type="checkbox"/> |
| Has the person performing Requirements Management received the required training for that role? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have the requirements been identified and documented (S-PE-187)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Does each requirement have a unique identifier (S-PE-187)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Has the RTM been placed under CM control (P-PE-050)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Have the requirements been allocated to the components (P-PE-053)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Is each requirement traceable to a verification method (P-PE-053)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Has a Scheduled Peer Review of the RTM been performed (P-PE-053)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Are changes to the requirements tracked (adds, changes, deletes) (S-PE-187)? | <input type="checkbox"/> | <input type="checkbox"/> |
| Is each requirement mapped to a test procedure (P-PE-053)? | <input type="checkbox"/> | <input type="checkbox"/> |

CAR's Issued:

Product Engineering Audit Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Has the top-level design been documented (P-PE-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Have the coding standards to be used been identified (S-PE-280)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the architectural design been documented (P-PE-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Has a design checklist been completed (P-PE-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Have the components been identified in a component list (P-PE-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the artifacts that will be produced by the design activity been documented (P-PE-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Has a detailed design been documented and placed in the SDF for each component (P-PE-050)?	<input type="checkbox"/>	<input type="checkbox"/>
Was a Peer Review of the detail design performed (P-PE-050)?	<input type="checkbox"/>	<input type="checkbox"/>
Were the allocated requirements used as the basis for the design (P-PE-050)?	<input type="checkbox"/>	<input type="checkbox"/>
Has each component been unit tested (P-PE-050)?	<input type="checkbox"/>	<input type="checkbox"/>
Have test procedures been developed for the integration and test of the components (P-PE-050) (S-PE-127)?	<input type="checkbox"/>	<input type="checkbox"/>
Has a build directive been issued and approved (S-PE-053)?	<input type="checkbox"/>	<input type="checkbox"/>
Has product delivery been performed P-PE-070? (as applicable)	<input type="checkbox"/>	<input type="checkbox"/>
Has installation and checkout been performed P-PE-090? (as applicable)	<input type="checkbox"/>	<input type="checkbox"/>

CAR's Issued:

Peer Review Audit Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Are peer review participants notified prior to the review (P-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>
Is the material to be reviewed distributed prior to the review (P-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>
Are defects and comments recorded on the Peer Reviewers Worksheet (S-GP-200)?	<input type="checkbox"/>	<input type="checkbox"/>
Is the Peer Review Report (S-GP-210) completed properly for each review?	<input type="checkbox"/>	<input type="checkbox"/>
Is a consolidated defect log (S-GP-205) provided to the author?	<input type="checkbox"/>	<input type="checkbox"/>
Has a completion date for rework been set (S-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>
Have action items and assignments been documented as required (P-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the moderator signed the Consolidated Defect Log as verification that the corrections have been made (P-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the moderator signed the Peer Review Report at closure of the review (P-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the moderator been trained for the moderator role?	<input type="checkbox"/>	<input type="checkbox"/>
Are the peer review documents retained as indicated on the ACOG?	<input type="checkbox"/>	<input type="checkbox"/>
Has the moderator forwarded a copy of the completed Peer Review Report to QA (P-GP-045)?	<input type="checkbox"/>	<input type="checkbox"/>

CAR's Issued:

Quality Assurance Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Has a QA Specialist been assigned to the project (S-PM-070)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the QA Specialist developed a QA Notebook for the project (P-QA-020)?	<input type="checkbox"/>	<input type="checkbox"/>
Was QA involved in the project planning stage (P-PM-030)?	<input type="checkbox"/>	<input type="checkbox"/>
Does QA provide input to the PM for estimating the QA effort (P-QA-020)?	<input type="checkbox"/>	<input type="checkbox"/>
Has a QA Plan been developed (S-QA-030)?	<input type="checkbox"/>	<input type="checkbox"/>
Is QA involved in the regularly scheduled Project Status Meetings?	<input type="checkbox"/>	<input type="checkbox"/>
Does QA review and approved Purchase Requisitions (P-GP-080)?	<input type="checkbox"/>	<input type="checkbox"/>
Are vendors approved (P-QA-050)?	<input type="checkbox"/>	<input type="checkbox"/>
Are subcontractors and vendors monitored (P-QA-100)?	<input type="checkbox"/>	<input type="checkbox"/>
Are vendor nonconformances handled per P-QA-030?	<input type="checkbox"/>	<input type="checkbox"/>
Does QA perform receiving inspections (P-QA-060)?	<input type="checkbox"/>	<input type="checkbox"/>
Does QA perform audits (P-QA-070)?	<input type="checkbox"/>	<input type="checkbox"/>
Does QA provide quarterly QA Status Reports to the QA Manager (S-QA-140)?	<input type="checkbox"/>	<input type="checkbox"/>
Are client assessments performed (P-QA-080)?	<input type="checkbox"/>	<input type="checkbox"/>
Is corrective action requested and obtained for deficiencies (P-QA-090)?	<input type="checkbox"/>	<input type="checkbox"/>
Are Project records collected and archived (P-GP-110)?	<input type="checkbox"/>	<input type="checkbox"/>

CAR's Issued:

Configuration Management Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Has a CM Specialist been assigned to the project (S-PM-070)?	<input type="checkbox"/>	<input type="checkbox"/>
Was CM involved in the project planning stage (P-PM-030)?	<input type="checkbox"/>	<input type="checkbox"/>
Has a CM Plan been developed (S-CM-030)?	<input type="checkbox"/>	<input type="checkbox"/>
Is CM involved in the regular scheduled Project Status Meetings (P-GP-030)?	<input type="checkbox"/>	<input type="checkbox"/>
Are document identifiers assigned by CM and issued to project personnel per P-CM-010?	<input type="checkbox"/>	<input type="checkbox"/>
Are documents issued and controlled per P-CM-010?	<input type="checkbox"/>	<input type="checkbox"/>
Does CM maintain a log of all controlled documents as defined in P-CM-010?	<input type="checkbox"/>	<input type="checkbox"/>
Has CM established a CM Library/Database (P-CM-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Are changes to controlled items documented using the MR (P-CM-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Does CM perform baseline audits (P-CM-030)?	<input type="checkbox"/>	<input type="checkbox"/>

CAR's Issued:

**Intergroup Coordination/ Audit Checklist
Integrated Software Management**

Project ID: _____
Auditor: _____
Date: _____

Checklist:	Yes	No
Has the PM developed a Project Notebook for the project (P-PM-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Has an ACOG been completed per P-PM-010?	<input type="checkbox"/>	<input type="checkbox"/>
Does the ACOG adequately reflect the projects tailored process?	<input type="checkbox"/>	<input type="checkbox"/>
Has the tailored process been approved by the SPG Manager?	<input type="checkbox"/>	<input type="checkbox"/>
Are risks identified and tracked (P-PE-150)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the PM received training in teamwork?	<input type="checkbox"/>	<input type="checkbox"/>
Does the project provide orientation for new project members (P-PM-150)?	<input type="checkbox"/>	<input type="checkbox"/>
Have critical dependencies been identified and documented (P-PE-160)?	<input type="checkbox"/>	<input type="checkbox"/>
Does the PM review the project activities with upper management on a periodic basis (P-PM-170)?	<input type="checkbox"/>	<input type="checkbox"/>

CAR's Issued:

Training Program Audit Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Does a Training Plan exist (P-TR-060)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the SPGC developed a training schedule (P-TR-060)?	<input type="checkbox"/>	<input type="checkbox"/>
Has a Training Coordinator been designated per P-TR-010?	<input type="checkbox"/>	<input type="checkbox"/>
Is the Course Preparation Checklist completed for training courses (P-TR-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Is a file prepared for each course conducted (P-TR-010)?	<input type="checkbox"/>	<input type="checkbox"/>
Are originals of the following documents in each file (P-TR-010)?		
Attendance Sheet (S-TR-010)	<input type="checkbox"/>	<input type="checkbox"/>
Course Critique (S-TR-050)	<input type="checkbox"/>	<input type="checkbox"/>
Student Answer Sheets	<input type="checkbox"/>	<input type="checkbox"/>
Does a Course Critique Analysis form exist for each course conducted (P-TR-020)?	<input type="checkbox"/>	<input type="checkbox"/>
Do waivers exist for personnel excused from required courses (P-TR-030)?	<input type="checkbox"/>	<input type="checkbox"/>
Have Course Authorization Forms been completed for courses taken (P-TR-040)?	<input type="checkbox"/>	<input type="checkbox"/>
Have employees taken required courses as defined in the ASEPH, Table 5.1? (Select a representative sample of employees and verify through the records)	<input type="checkbox"/>	<input type="checkbox"/>
CAR's Issued:		

Process Improvement Audit Checklist

Project ID: _____
 Auditor: _____
 Date: _____

Checklist:	Yes	No
Has the SPG developed a Process Improvement Plan (P-PI-040)?	<input type="checkbox"/>	<input type="checkbox"/>
Has the Project Management approved the Plan?	<input type="checkbox"/>	<input type="checkbox"/>
Does the SPG track the activities to the plan (P-PI-040)?	<input type="checkbox"/>	<input type="checkbox"/>
Is the effort vs. the plan reported to the SPGC quarterly (P-PI-040)?	<input type="checkbox"/>	<input type="checkbox"/>
Does the SPGC maintain a metrics database for use by the projects in developing estimates?	<input type="checkbox"/>	<input type="checkbox"/>
Have actuals from the projects initial, updated and final estimate forms been entered in the database (P-PI-020)?	<input type="checkbox"/>	<input type="checkbox"/>
Is the data analyzed and reported to the projects (P-PI-020) (P-PI-030)?	<input type="checkbox"/>	<input type="checkbox"/>

CAR's Issued: